

**STATE OF NEW HAMPSHIRE  
BUREAU OF SECURITIES REGULATION  
DEPARTMENT OF STATE**

IN THE MATTER OF:

Sean Grady &  
Grady and Associates, LLC

Respondents

)  
)  
) Default Order  
) COM2018-0004  
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**WHEREAS**, the staff of the Bureau of Securities Regulation, Department of State, State of New Hampshire (hereinafter referred to as "the Bureau") filed a Staff Petition for Relief in the above-referenced matter on November 13, 2018; and

**WHEREAS**, an *Order to Cease and Desist* with other sanctions was issued by the Director of the Bureau on November 15, 2018, said order containing a Notice of Order and a Notice of Right to Request a Hearing; and

**WHEREAS**, true copies of the Staff Petition and *Order* were sent to the Respondents' last known address by certified mail, return receipt requested, according to an Affidavit of Service executed on December 5, 2018 and a copy of the notice of

service was filed along with a copy of the process with the secretary of state, pursuant to N.H. RSA 421-B:6-611; and

**WHEREAS**, the Respondents did not request a hearing within 30 days after the date of service of the order; and

**WHEREAS**, the Bureau attempted to contact, by phone and by letter, a lawyer who represents or represented the Respondents but did not receive a response; and

**WHEREAS**, the Bureau has made reasonable efforts, pursuant to N.H. RSA 421-B, to contact the Respondents and the Respondents have not responded to the Notice of Right to Request a Hearing or any other attempt to contact them;

### **ORDER**

THEREFORE, it is hereby ORDERED that:


- 1) The Respondents are found in default and the *Order to Cease and Desist* in the above-referenced matter is hereby made permanent.
- 2) The sanctions ordered by the Director in his *Order to Cease and Desist* are hereby made permanent.
- 3) The Respondents are ordered to pay restitution in accordance with the Bureau's Staff Petition and the *Cease and Desist Order*;
- 4) The Respondents are permanently barred from any securities licensure and securities registration in the state of New Hampshire, in accordance with N.H. RSA 421-B:6-604(d).

- 5) The Respondents, jointly and severally, shall pay administrative penalties of \$15,000.00, in accordance with N.H. RSA 421-B:6-604(d).
- 6) The Respondents shall pay the Bureau's costs of investigation in the amount of \$10,000.00, in accordance with N.H. RSA 421-B:6-604(g).
- 7) The Respondents, jointly and severally, are subject to a rescission order and, accordingly, shall pay Investor #1 in the amount of \$213,471.36, in accordance with N.H. RSA 421-B:6-604(f).

SIGNED,

WILLIAM M. GARDNER  
SECRETARY OF STATE  
BY:

Dated:  1/31/19

  
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KEVIN B. MOQUIN  
HEARINGS OFFICER